

NASA Headquarters  
Washington, DC 20546

**HOWI-7410-R003B**

**June 7, 2000**

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**Aero-Space Technology Strategic Enterprise (HQ/Code R)**

**Office Work Instruction**

# **Headquarters Operations Budget Development**

**CHECK THE MASTER LIST at**

**<http://hqiso9000.hq.nasa.gov/>**

**VERIFY THAT THIS IS THE CORRECT VERSION BEFORE USE**

Responsible Office: RS

**Subject: Headquarters Operations Budget Development**

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**DOCUMENT HISTORY LOG**

<u>Status</u> ( <u>Draft/</u> <u>Baseline/</u> <u>Revision/</u> <u>Canceled</u> )	<u>Document</u> <u>Revision</u>	<u>Effective</u> <u>Date</u>	<u>Description</u>
Baseline		1/29/1999	
Revision	A	4/21/1999	(1) Clarified responsibility for each step, (2) added additional details in process steps, and (3) revised flowchart to better reflect procedure.
Revision	B	6/7/2000	Ensure text, flowchart and quality records all have identical wording.

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Approved by: Greg M. Reck June 7, 2000

- 1. PURPOSE**

The purpose of this OWI is to ensure that:

  - (a) Headquarters' operational resources requirements are identified and adequately represented in the overall budget development process; and
  - (b) Each Headquarters organizational component is notified of its approved operating budget.
- 2. SCOPE and APPLICABILITY**
  - 2.1**

This OWI pertains to the following operational budget components:

    - (a) Computer hardware, software, and communications equipment and supporting requirements;
    - (b) Support Service Contracts (including Advisory Committee and Conference Support);
    - (c) Printing and Graphics;
    - (d) Subscriptions to periodicals and newspapers.
  - 2.2**

This OWI applies to all organizational components of the Office of Aero-Space Technology.
- 3. DEFINITIONS**

AA	Associate Administrator
ADP Task Monitors	Individuals identified as responsible for the technical content of computer hardware, software, and related contract tasks
DD	Division Director, Research Support Division (RS)
EOY	End of Year
MOS	Management Operations Specialist (assignment within the Research Support Division responsible for managing the budget development process)
PFP	Program Financial Plan
RLT	Code R Leadership Team, including the AA, DAA,

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& Division Directors (RB, RG, RP, RS, & RW)

RS                      Research Office Support Division

**4. REFERENCE  
DOCUMENTS**

H OWI-7410-R001   Enterprise/IPO Budget Formulation

H OWI-7410-R004   Headquarters Operations Budget  
Administration

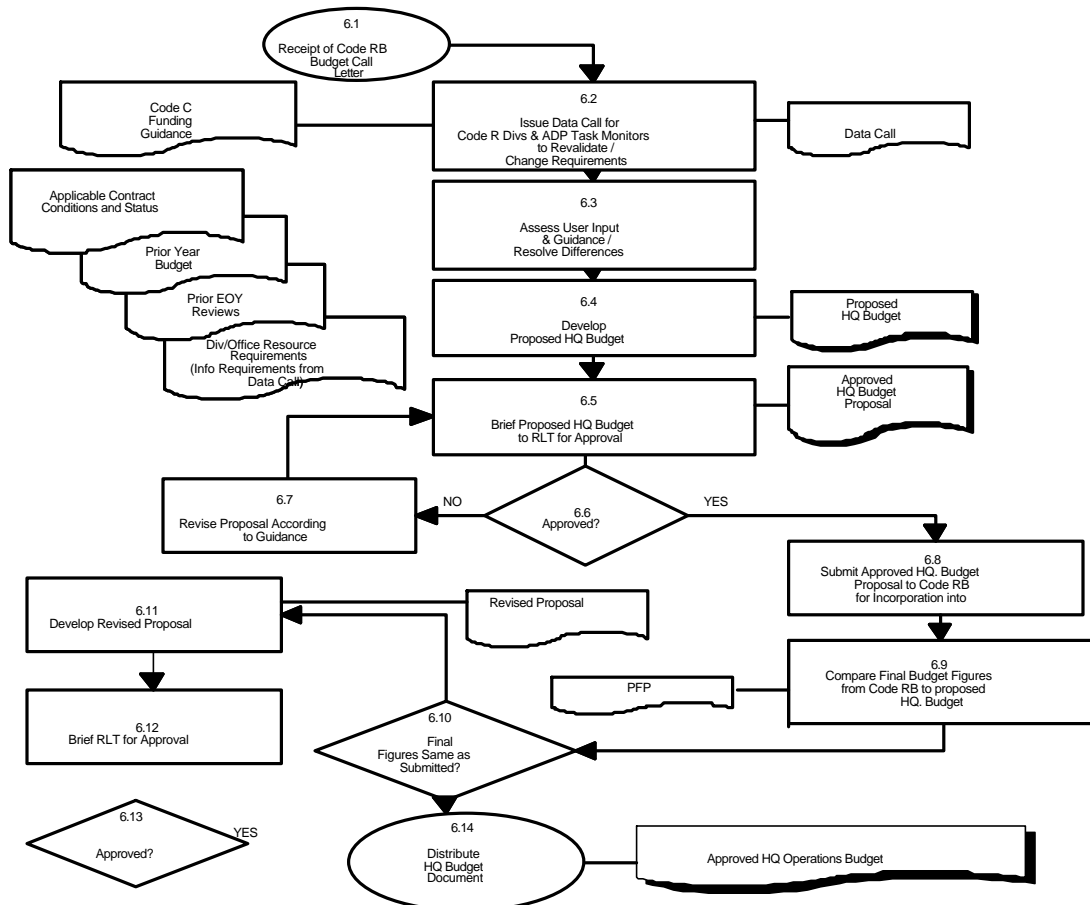
The correct version of the Office Work Instructions cited above  
may be obtained from the Document Management System at  
<<http://HQISO9000.hq.nasa.gov/dms.htm>>

**5. FLOWCHART**

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5.0 Flowchart



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**6. PROCEDURE**

<u>Step</u>	<u>Actionee</u>	<u>Action</u>
<b>6.1</b>		The Headquarters Operations budget development process begins with the receipt from the Resources Management Office (Code RB) of the budget call letter, as described in HOWI-7410-R001 Enterprise/IPO Budget Formulation.
<b>6.2</b>	MOS	<p>Issue a data call for the Division Director's signature to each of the Code R divisions and offices (including the Office of the Associate Administrator) as well as to ADP Task Monitors. The call letter shall, as a minimum, contain:</p> <ul style="list-style-type: none"><li>(a) The previous year's budget for each Division/Office;</li><li>(b) Known guidance regarding the availability of resources (e.g., information from Code C on travel, printing and graphics budgets);</li></ul> <p>and shall solicit any changes or new requirements in the Division/Office or ADP Task operational budget categories for the coming budget fiscal year plus the next subsequent fiscal year. Attach routing slip and forward to Division Director for approval and distribution. Keep signed slip and data call in Headquarters Operations Budget file.</p>
<b>6.3</b>	MOS	Compile/Analyze Division/Office and ADP resource requirements based on prior spending history (including prior EOY reviews completed per HOWI-7410-R004, Headquarters Operations Budget Administration), available funds, support contract conditions and status (e.g., contract minimums, forward funding, remaining hours) and the nature/priority of requirements. Propose resolution of any differences between submissions and guidance.
<b>6.4</b>	MOS	Develop a proposed Headquarters budget for presentation to the RLT. Presentation shall address requirements, available funds, and proposed allocation of funds to requirements. Retain in Headquarters Operations Budget file with cover note that includes date and person making the presentation.
<b>6.5</b>	DD	Brief the proposed Headquarters budget to the RLT.

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| <b>6.6</b>  | AA  | The AA, with advice from the RLT, approves the proposed Headquarters operations budget or disapproves the budget with guidance for revision.  |
| <b>6.7</b>  | DD  | If the budget proposal is disapproved, make revisions to the proposed budget for presentation to the RLT.   |
| <b>6.8</b>  | MOS | When the proposed HQ budget is approved, submit the approved Headquarters budget to Code RB for incorporation into the agency budget in accordance with HOWI-7410-R001 Enterprise/IPO Budget Formulation. Provide copy of the approved HQ budget proposal and transmittal routing slip to MOS to retain in Headquarters Operations Budget file. |
| <b>6.9</b>  | MOS | Receive PFP containing approved Headquarters budget from Code RB in accordance with HOWI-7410-R001 Enterprise/IPO Budget Formulation. Compare final budget figures from Code RB to the proposed HQ budget.  |
| <b>6.10</b> | MOS | If the approved budget is the same as the proposed budget submitted in Step 6.8, proceed to Step 6.14. If not, proceed to Step 6.11.  |
| <b>6.11</b> | MOS | Develop a proposal for a revised budget given the new approved budget figures. Retain in Headquarters Operations Budget file with cover note that includes date and person making the presentation.   |
| <b>6.12</b> | DD  | Brief the new budget proposal to the RLT.   |
| <b>6.13</b> | AA  | The AA, with advice from the RLT, approves the revised proposed Headquarters budget or disapproves the budget with guidance for further revision and resubmittal.   |
| <b>6.14</b> | MOS | If the original budget proposal was approved without changes, or when a revised budget is approved, distribute the results to each Division/Office. Retain approved headquarters budget proposal and transmittal memo in the Headquarters Operations Budget file.   |

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## 7. QUALITY RECORDS

<u>Record ID</u>	<u>Owner</u>	<u>Location</u>	<u>Media</u>	<u>Schedule Number and Item Number</u>	<u>Retention/Disposition</u>
Proposed HQ Budget	RS	MOS Files	Hardcopy	Schedule 7, Item 21A	Destroy when 2 years old
Approved HQ Budget Proposal	RS	MOS Files	Hardcopy	Schedule 7, Item 21G	Permanent. Retire to Federal Record Center (FRC) by fiscal year when no longer needed for active reference, or when 10 years old.
Approved HQ Operations Budget	RS	MOS Files	Hardcopy	Schedule 7, Item 21G	Permanent. Retire to FRC by Fiscal year when no longer needed for active reference, or when 10 years old.